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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 4

Complete if Known

Application Number	09/935,981
Filing Date	August 23, 2001
First Named Inventor	Donato V. Daddario et al.
Group Art Unit	2161
Examiner Name	To be assigned
Attorney Docket Number	4797-64

### U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
Smf		4,648,037		Valentino	03/03/1987	
		5,903,881		Schrader et al.	05/11/1999	
		5,913,202		Motoyama	06/15/1999	
		5,918,217		Maggioncalda et al.	06/29/1999	
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		6,003,019		Eaton et al.	12/14/1999	
		6,012,043		Albright et al.	01/04/2000	
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		6,041,313		Gilbert et al.	03/21/2000	
		6,062,862		Koskinen	05/16/2000	
		6,064,990		Goldsmith	05/16/2000	
		6,073,119		Bornemisza-Wahr et al.	06/06/2000	

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### FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

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Sheet

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### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
Emf		"Fast Facts About Quicken® 401k Advisor <sup>SM</sup> by TeamVest" <i>Quicken for Windows</i> , <a href="http://www.intuit.com/corporate/pressroom/product_info/quicken/fast_facts_401k.html">http://www.intuit.com/corporate/pressroom/product_info/quicken/fast_facts_401k.html</a>	
		"My Retirement Account" <i>American Express</i> , <a href="https://www23.americanexpress.com/retirement/myaccount/">https://www23.americanexpress.com/retirement/myaccount/</a>	
		"American Express Retirement Services Selects mPower/401k Forum as Online Investment Advisor for Defined Contribution Plans" <i>mPower</i> , December 1, 1999, <a href="http://kona.mpower.com/visitor/press/press_amex.html">http://kona.mpower.com/visitor/press/press_amex.html</a>	
		"Atlantic Financial 401k Plans – Key Features" <i>Mutual Fund Center</i> <a href="http://www.mutualfundcenter.com/401k.htm">http://www.mutualfundcenter.com/401k.htm</a>	
		Web page for Chalk 401(k) Advisory Board, Inc., <a href="http://www.chalk401k.com">www.chalk401k.com</a>	
		Web page for Diversified Investment Advisors, <a href="http://www.divinvest.com">www.divinvest.com</a>	
		Web page for Intuit Inc., <a href="http://www.intuit.com">www.intuit.com</a>	
		Web page for Quicken.com, <a href="http://www.quicken.com">www.quicken.com</a>	
		Web page for TeamVest Retirement Plan Services, Inc., <a href="http://www.teamvest.com">www.teamvest.com</a>	
		Web page for Standard & Poor's, <a href="http://www.standardandpoor.com/productsandservices">www.standardandpoor.com/productsandservices</a>	

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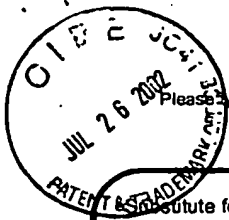
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Smg		Web page for Financial Engines, Inc., www.financialengines.com
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		Web page for American Express Financial Services, finance.americanexpress.com
		Web page for Morningstar.com, www.morningstar.com
		Web page for 401(k) Easy, www.401keasy.com
		Web page for Atlantic Financial, www.mutualfundcenter.com
		Web page for 401kExchange.com, Inc., www.401kexchange.com
		Web page for Advisors 401(k), www.advisors401k.com
		Web page for BenefitNews.com, www.benefitnews.com
		Web page for Retire Web, www.retireweb.com
		Web page for Wall Street Online, www.retirement-plan-online.com
		Web page for Optimal Retirement Planning, www.i-orp.com

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**Filing Date**

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**First Named Inventor**

Donato V. Daddario et al.

### Group Art Unit

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**Examiner Name**

### To be assigned

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